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3677 #

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Express Mail Label No.: EV 432 689 327 US

PATENT APPLICATION  
 Docket No: 14591.10

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re application of )  
 )  
 Hicks, et al. )  
 ) Art Unit  
 Serial No.: 09/931,392 ) 3677  
 )  
 Filed: August 16, 2001 )  
 )  
 Confirmation No.: 1575 )  
 )  
 For: BUCKLE LANYARD CONNECTOR AND SYSTEM )

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## TRANSMITTAL FOR SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop: AMENDMENT  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is a Supplemental Information Disclosure Statement, which includes the following statements, if any, required variously by 37 C.F.R. § 1.98:

- \_\_\_\_ Statement of relevance of selected cited references not in the English language which are not translated.
- \_\_\_\_ Statement that selected cited references are substantially cumulative of an enclosed or previously submitted reference.
- \_\_\_\_ Statement that selected cited references were previously cited by or submitted to the United States Patent and Trademark Office in a prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

VERNON R. RICE §  
 OF COUNSEL

\* Admitted only in California  
 § Admitted only in Virginia

A. Additional Materials Required Due to Content of Information Disclosure Statement

Transmitted are the following documents in addition to the Information Disclosure Statement as required variously under 37 C.F.R. § 1.98:

- ☒ Form PTO-1449 listing 7 references submitted for consideration.
- ☐ Copies of the required ☐ references listed on the Form PTO-1449.
- ☐ English translations as indicated on the Form PTO-1449 of the references which are not in the English language.
- ☐ Copies of the following documents from the prosecution of a previous, related application:
  - ☐ Form PTO-1449 AND INFORMATION DISCLOSURE STATEMENT; and
  - ☐ Form PTO-892

B. Additional Materials Required Due to Timing of Filing of Information Disclosure Statement

The transmitted Information Disclosure Statement is being filed within one (1) of the following four (4) time periods:

- I. ☐ Prior to the later of either three (3) months following the filing date or the mailing of a first Office Action. Accordingly, no materials other than those listed above are enclosed.
- II. ☒ Following the latter of either three (3) months following the filing date or the mailing of a first Office Action, but before the mailing of a final Office Action or a Notice of Allowance. Accordingly, to secure consideration thereof, one (1) of the following is also enclosed:
  - ☐ Promptness Certification; or
  - ☒ Credit Card Form PTO 2038 in the amount of \$180.00 constituting the submission fee set forth in 37 C.F.R. § 1.17(p).
- III. ☐ After the mailing of a Notice of Allowance, but before payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:
  - ☐ Promptness Certificate;
  - ☐ Petition for Consideration; and

\_\_\_\_ Check No. in the amount of \$ \_\_\_\_\_ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).

IV. \_\_\_\_ After payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:

\_\_\_\_ Petition to Withdraw from Issue; and

\_\_\_\_ Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).

C. Fees

The Commissioner is hereby authorized to charge payment of or any deficiency in the following fees associated with this communication, or to credit any overpayment thereof, to Deposit Account No. 23-3178. A duplicate copy of this letter is enclosed.

X Any fee required in relation to filing of this letter or any documents transmitted therewith.

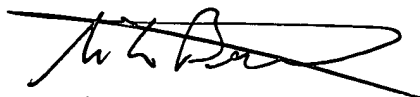
\_\_\_\_ The submission fee set forth in 37 C.F.R. § 1.17(p) in the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that any Promptness Certificate submitted meets the requirements of 37 C.F.R. § 1.97(e).

\_\_\_\_ The submission fee set forth in 37 C.F.R. § 1.17(p).

\_\_\_\_ The petition fee set forth in 37 C.F.R. § 1.17(i)(1).

Dated this 3<sup>rd</sup> day of December, 2004.

Respectfully submitted,



Michael M. Ballard  
Attorney for Applicants  
Registration No. 54,978  
**Customer No. 022913**  
Telephone No. (801) 533-9800



Express Mail Label No. EV 432 689 327 US

PATENT APPLICATION

Docket No: 14591.10

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                      |                                     |   |          |
|----------------------|-------------------------------------|---|----------|
| In re application of |                                     | ) |          |
|                      | Hicks et al.                        | ) |          |
| Serial No.:          | 09/931,392                          | ) | Art Unit |
| Confirmation No.:    | 1575                                | ) | 3677     |
| Filed:               | August 16, 2001                     | ) |          |
| For:                 | BUCKLE LANYARD CONNECTOR AND SYSTEM | ) |          |

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10

I hereby certify that the following documents are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated below in an envelope addressed to Mail Stop: AMENDMENT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450:

DATED this 3 day of December, 2004.

- Transmittal for Supplemental Information Disclosure Statement (3 pgs.) (in duplicate)
- Supplemental Information Disclosure Statement (2 pgs.)
- Form PTO-1449 (1 pg.)
- Copies of 7 references
- Credit Card PTO Form 2038 for \$180
- Postcard

Respectfully submitted,

Linda Clark, Assistant to  
Michael M. Ballard  
Attorney for Applicants  
Registration No. 54,978

**Customer No. 022913**

Telephone No. (801) 533-9800



Express Mail Label No. EV 432 689 327 US

PATENT APPLICATION

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|                      |                                     | ) |          |
| Filed:               | August 16, 2001                     | ) |          |
|                      |                                     | ) |          |
| For:                 | BUCKLE LANYARD CONNECTOR AND SYSTEM | ) |          |

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Mail Stop: AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which

12/08/2004 HAL111 00000070 09931392  
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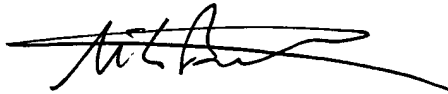
the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed "other" or foreign references or relevant portion thereof is also enclosed.

In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each non-English reference, if any, are also enclosed.

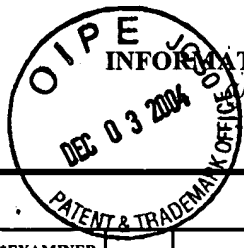
DATED this 3<sup>rd</sup> day of December, 2004.

Respectfully submitted,



Michael M. Ballard  
Attorney for Applicants  
Registration No. 54,978  
**Customer No. 022913**  
Telephone No. (801) 533-9800

MMB/lrc  
LC0000001863V001



## INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Docket Number (Optional)

14591.10

Application Number

09/931,392

Applicant(s)

Hicks, et al.

Filing Date

August 16, 2001

Group Art Unit

3677

## U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL | REF | DOCUMENT NUMBER | DATE   | NAME         | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|----------------------|-----|-----------------|--------|--------------|-------|----------|-------------------------------|
|                      | 1   | D296,726        | 7/1988 | Katz         | D3    | 62       |                               |
|                      | 2   | D347,766        | 6/1994 | Kalat        | D7    | 607      |                               |
|                      | 3   | D381,805        | 8/1997 | Case         | D3    | 229      |                               |
|                      | 4   | D394,548        | 5/1998 | Lee          | D3    | 221      |                               |
|                      | 5   | 5,664,712       | 9/1997 | Smrt         | 224   | 250      |                               |
|                      | 6   | 5,772,090       | 6/1998 | Rodriguez    | 224   | 251      |                               |
|                      | 7   | 6,029,850       | 2/2000 | Pate, et al. | 221   | 64       |                               |
|                      |     |                 |        |              |       |          |                               |
|                      |     |                 |        |              |       |          |                               |
|                      |     |                 |        |              |       |          |                               |
|                      |     |                 |        |              |       |          |                               |

## FOREIGN PATENT DOCUMENTS

|  | REF | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation |    |
|--|-----|-----------------|------|---------|-------|----------|-------------|----|
|  |     |                 |      |         |       |          | YES         | NO |
|  |     |                 |      |         |       |          |             |    |
|  |     |                 |      |         |       |          |             |    |
|  |     |                 |      |         |       |          |             |    |
|  |     |                 |      |         |       |          |             |    |
|  |     |                 |      |         |       |          |             |    |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |  |  |
|--|--|--|
|  |  |  |
|  |  |  |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.